EL651341402US & 3707778

EXPRESS MAIL LABEL NO.: 3 0 NGV 2001 DATE: November 30, 2001 FORM PTO 1390 U.S. DEPARTMENT OF COMMERCE, PATENT AND TRADEMARK OFFICE, ATTORNEY'S DOCKET NUMBER SONYJP-153 TRANSMITTAL LETTER TO THE UNITED STATES US APPLICATION NO. (If known, see 37 CFR 1.5) DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. INTERNATIONAL APPLICATION NO INTERNATIONAL FILING DATES PRIORITY DATE CLAIMED PCT/JP01/03004 6 April 2001 6 April 2000 TITLE OF INVENTION INFORMATION RECORDING/PLAYBACK APPARATUS AND METHOD Tomoyuki Asano, Yoshitomo Osawa, Tateo Oishi, Ryuta Taki, Ryuji Ishiguro, and APPLICANT(S) FOR DO/EO/US Atsushi Mitsuzawa Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information: x This is a FIRST submission of items concerning a filing under 35 U.S.C. 371. This is a SECOND or SUBSEQUENT submission of items concerning a filing 35 U.S.C. 371 2. This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must 3. х include items (5), (6), (9) and (21) indicated below. The US has been elected by the expiration of 19 months from the priority date (PCT Article 31). A copy of the International Application as filed (35 U.S.C. 371 (c)(2)) is attached hereto (required only if not communicated by the International Bureau). has been communicated by the International Bureau. b. х is not required, as the application was filed in the United States Receiving Office (RO/US). An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2)). x is attached hereto. has been previously submitted under 35 U S.C. 154(d)(4). Amendments to the claims of the International Application under PCT Article 19 (35 U.S C. 371 (c)(3)) 7. x are attached hereto (required only if not communicated by the International Bureau). have been communicated by the International Bureau. have not been made; however, the time limit for making such amendments has NOT expired. x have not been made and will not be made. An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)). An oath or declaration of the inventor(s) (35 U.S.C 371 (c)(4)). (unexecuted) 9. x An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)). Items 11 to 20 below concern document(s) or information included: An Information Disclosure Statement under 37 CFR 1.97 and 1.98. w/PTO-1449, 12 references An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. 13. A FIRST preliminary amendment. A SECOND or SUBSEQUENT preliminary amendment. 14 15. A substitute specification. 16 A change of power of attorney and/or address letter. 17. A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825. 18 A second copy of the published international application under 35 U.S.C. 154(d)(4). A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4). 19 Other items or information: Copy of PCT Request (in Japanese), Thirty-Seven (37) Sheets of Formal Drawings, Copy of Face page of published application

47. 44. 42.

| 11 C ARRIGATION NO. (Climana | 17 CER I S | INTERNATIONAL APPLICA | NTERNATIONAL APPLICATION NO | | | ATTORNEY'S DOCKET NUMBER | | |
|--|---------------------------|-----------------------|-----------------------------|-------|---------------------------|---------------------------|----|--|
| U.S. APPLICATION NO (If Juower, see 37 CFR 1.5) | | PCT/JP01/03004 | | | SONYJP-153 | | | |
| 21. x The following fees are submitted: | | | | | CALCULATIONS PTO USE ONLY | | | |
| BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) – (5)): | | | | | | | | |
| Neither international preliminary examination fee (37 CFR 1.482) | | | | | | | | |
| nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO . \$1040 00 | | | | | | | | |
| X International preliminary examination fee (37 CFR 1 482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890 00 | | | | | | | | |
| International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international scarch fee (37 CFR 1.445(a)(2)) paid to USPTO | | | | | | | | |
| International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) | | | | | | | | |
| International preliminary examination fee (37 CFR 1 482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4)\$100 00 | | | | | | | | |
| ENTER APPROPRIATE BASIC FEE AMOUNT = | | | | | | 890.00 | | |
| Surcharge of \$ for furnishing the oath or declaration later than | | | | | | | | |
| 20 30 months from the earliest claimed priority date (37 CFR 1.492 (e)). | | | | | | | | |
| CLAIMS | NUMBER FILED | NUMBER EXTRA | I | RATE | | | | |
| Total claims | 100-20 | 80 | х | 18.00 | S | 1,440.00 | | |
| Independent claims | 17-3 = | 14 | х | 84.00 | \$ | 1,176.00 | | |
| MULTIPLE DEPENDENT CLAIM(s) (if applicable) + | | | | | \$ | | | |
| TOTAL OF ABOVE CALCULATIONS = | | | | | \$ | 3,506.00 | | |
| Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by ½. | | | | | \$ | | | |
| SUBTOTAL = | | | | | \$ | 3,506.00 | | |
| Processing fee of \$ for furnishing the English translation later than | | | | | | | | |
| | s from the earliest claim | | | | \$ | | | |
| | s from the earnest claim | | | | _ | 0.500.00 | | |
| | | | | | s | 3,506.00 | | |
| Fee for recording the enclosed assignment (37 CFR 1.21 (h)). Assignment must be accompanied by appropriate cover sheet (37 CFR 3.28, 3.31) | | | | | | | | |
| (per property). | | | | | s | | | |
| TOTAL FEES ENCLOSED = | | | | | \$ | 3;506.00 | | |
| | | | | | | Amount to be Refunded: | \$ | |
| | | | | | - | | \$ | |
| | | | | | | Charged: | 3 | |
| a. A check in the amount of \$ to cover the above fees is enclosed. | | | | | | | | |
| b. x Please charge my Deposit Account No. 12-1095 in the amount of \$ 3,506.00 | | | | | | | | |
| to cover the above fees. A duplicate copy of this sheet is enclosed. | | | | | | | | |
| c. x The Commissioner is hereby authorized to charge any additional fees which may be required or credit | | | | | | | | |
| any overpayment to my Deposit Account No. 12-1095 . A duplicate copy of this sheet is enclosed. | | | | | | | | |
| NOME N | | 1 20 CIDD 1 101 | 1 40 5 . | | | | | |
| NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the application to pending status. | | | | | | | | |
| (3) C. K. 1.13.7 (a) or (b)) must be med and granted to restort the application to pending status. | | | | | | | | |
| SEND ALL CORRESPONDENCE TO | | | | | | | | |
| LERNER, DAVID, LITTENBERG, KRUMHOLZ & MENTLIK, LLP SIGNATURE: Robert B. Cohen | | | | | | | | |
| 600 South Avenue West NAME | | | | | | | | |
| Westfield, New Jersey 07090 | | | | | | 22.700 | | |
| (908) 518-6316 REGISTRATION N | | | | | | 32,768 | | |
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